

# Archived Information

*U.S. Department of Education  
Office of Elementary and Secondary Education  
Washington, D.C. 20202-6336*

**FISCAL YEAR 2005  
APPLICATION FOR EVEN START FAMILY LITERACY  
PROGRAM GRANTS FOR FEDERALLY RECOGNIZED  
INDIAN TRIBES AND TRIBAL ORGANIZATIONS**

**CFDA Number: 84.258A**

**FORM APPROVED  
OMB No. 1890-0009  
Expiration Date: 6/30/2005**



**DATED MATERIAL – OPEN IMMEDIATELY  
Closing Date for Application Transmittal:  
April 11, 2005**

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Doris Sligh, Early Childhood and Reading Group  
Student Achievement and School Accountability Programs  
Office of Elementary and Secondary Programs  
400 Maryland Avenue, SW  
Washington, DC 20202-6132  
(202) 260-0999  
E-mail: [Doris.Sligh@ed.gov](mailto:Doris.Sligh@ed.gov)



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**Section A:**  
**DEAR COLLEAGUE LETTER**



Dear Colleague:

The U.S. Department of Education is pleased once again to announce the availability of federal funds under the William F. Goodling Even Start Family Literacy Programs, for grants to federally recognized Indian tribes and tribal organizations for a fiscal year (FY) 2005 competition. The Department may use the funding slate resulting from this competition as the basis for future years' awards.

The purpose of the Even Start program (Title I, Part B, Subpart 3 of the Elementary and Secondary Education Act (ESEA) of 1965, as amended) is to help break the intergenerational cycle of poverty and low literacy by improving the educational opportunities of low-income families. The program integrates early childhood education, adult literacy (adult basic and secondary-level education, and English language training for parents with limited English proficiency), parenting education, and interactive parent and child literacy activities, into a single, unified family literacy program. These intensive, family-centered educational programs serve children from birth through age seven, and their parents who are eligible to participate in an adult basic or adult secondary education program under the Adult Education and Family Literacy Act, who are within the State's compulsory school attendance age range (so long as a local educational agency provides or ensures the availability of the basic education component), or who are attending secondary school.

The new Even Start program, as authorized by the No Child Left Behind Act, focuses on program accountability and instruction based on scientifically-based reading research. Specifically, at a minimum, a successful Even Start project should: build on high-quality community resources; employ qualified staff; carry out instructional activities grounded in scientifically based reading research; document significant literacy achievement results (for adults and children) for the majority of families served; and annually make and demonstrate sufficient program progress.

The Department has established a set of indicators to assess the effectiveness of the Even Start program. Under these indicators, Tribal Even Start projects will measure increases in the: (1) percentages of adults who achieve significant learning gains on measures of literacy, and percentages of limited English acquisition, as measured by the Comprehensive Adult Student Assessment System (CASAS) or the Tests of Adult Basic Education (TABE); (2) percentages of Even Start adults with a high school goal who earn a high school diploma or the equivalent, or a General Equivalency Diploma (GED goal that earn a high school diploma or equivalent; (3) percentages of Even Start children entering kindergarten who demonstrate age-appropriate development of receptive language as measured by the Peabody Picture Vocabulary Test –III (PPVT-III); and (4) the average number of letters that Even Start children are able to identify as measured by the Uppercase Letter Naming Subtask on the PALS Pre-K assessment.

Federally recognized Indian tribes and tribal organizations are eligible to apply for these grants, which are awarded for up to four years. The Secretary will select proposals for funding on a competitive basis using the selection criteria in the application package. More detailed information on submitting an application is attached.

For the FY 2005 competition, the Secretary has established two invitational priorities. The first states that the Secretary is especially interested in programs that offer center-based early childhood education services. The research in early childhood education shows that educational services for young children that are provided in a center are more likely to be intensive and therefore result in significant learning outcomes than non-center based services. The Third National Even Start Evaluation showed that children who participated more intensively in early childhood education scored higher on standardized literacy skills. A center is defined, for the purpose of this competition, as a place where early childhood educational services can be provided to a group of children from multiple households. The Secretary is also especially interested in Even Start Indian tribal and tribal organization projects that provide early

childhood education services for at least a 3-year age range, which may begin at birth, in order to enhance the early language, literacy, and early reading development of preschool-age children. Under the statutory requirements that apply to the State-administered Even Start Family Literacy Program, local programs must serve a 3-year age range of children, which may begin at birth. This priority would encourage tribal Even Start programs to serve a similar age range in order to enhance early language, literacy, and early reading development of preschool-age children.

Under the statutory requirement that apply to the State-administered Even Start Family Literacy program, local programs must serve a 3-year age range of children, which may begin at birth. This priority would encourage Indian tribal and tribal organization Even Start programs to serve a similar age range in order to enhance the early language, literacy, and early reading development of preschool-age children.

***Applications must be post-marked or hand-delivered to the Department, or submitted through the Department's electronic application system, in accordance with the attached "Transmittal Instructions" by April 11, 2005 for consideration.*** If you are an applicant under the Tribal Even Start program, you may submit your application to us in either electronic or paper format. If you use the Electronic Grant Application System (e-Application) you will be entering data online while completing your application. You may not e-mail an electronic copy of a grant application to us. If you submit your application electronically using e-Application, the data you enter online will be saved into a database.

Grantees selected for funding will receive funds for the first budget period. Continuation funding for up to three additional years will be based on the availability of funds and documentation of substantial progress toward the program's goals and objectives.

This application package contains the instructions, forms, and other information needed to submit a complete application for an Even Start program grant for the FY 2005 competition. It contains a copy of the *Federal Register* notice inviting applications, which includes information on funding available for this competition, sets forth two invitational priorities, describes the selection criteria that will be used to evaluate applications, contains the statutory requirements for the application and the program, and describes the Secretary's performance indicators. This booklet also contains all other documents needed to apply for these grant funds. Please refer to the notice inviting applications that follows for a contact name and number, and call or send an e-mail inquiry if you have any questions about these grants or preparation of your application.

We look forward to receiving your application and appreciate your efforts to submit your applications electronically using e-Application. For further information, please contact Doris Sligh, Tribal Even Start Program, (202) 260-0999.

Sincerely,

/s/

Jacquelyn C. Jackson, Ed.D.  
Director  
Student Achievement and  
School Accountability Programs



**Section B:**

**FEDERAL REGISTER NOTICE AND RELEVANT STATUTORY  
PROVISIONS**

Notice Inviting Applications For New Awards For Fiscal Year (FY) 2005 Competition  
Even Start Statute (Title I, Part B, Subpart 3, ESEA)  
Relevant Statutory Definitions



**FEDERAL REGISTER NOTICE FISCAL YEAR 2005  
APPLICATION FOR EVEN START FAMILY LITERACY PROGRAM  
GRANTS FOR FEDERALLY RECOGNIZED INDIAN TRIBES AND  
TRIBAL ORGANIZATIONS**

4000-01-U

DEPARTMENT OF EDUCATION

Office of Elementary and Secondary Education

Overview Information

William F. Goodling Even Start Family Literacy Programs --

Grants for Indian Tribes and Tribal Organizations

Notice inviting applications for new awards in fiscal year (FY)

2005.

Catalog of Federal Domestic Assistance (CFDA) Number:

84.258A

Dates:

Applications Available: February 18, 2005.

Deadline for Transmittal of Applications: April 11, 2005.

Eligible Applicants: Federally recognized Indian tribes and

tribal organizations. Applicable definitions of the terms

"Indian tribe" and "tribal organization" are in section 4 of the

Indian Self-Determination and Education Assistance Act, 25

U.S.C. 450b.

Estimated Available Funds: \$4,975,000. Contingent upon the  
availability of funds and quality of applications we may make

additional awards in subsequent years from the list of unfunded applicants from this competition.

Estimated Range of Awards: \$150,000 - \$250,000 per year.

Estimated Average Size of Awards: \$200,000 per year.

Estimated Number of Awards: 20 - 33.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 48 months.

Full Text of Announcement

#### I. Funding Opportunity Description

Purpose of Program: The William F. Goodling Even Start Family Literacy Programs (Even Start), including the grants for Indian tribes and tribal organizations, are intended to help break the cycle of poverty and illiteracy by improving the educational opportunities of low-income families by integrating early childhood education, adult literacy or adult basic education, and parenting education into a unified family literacy program. These programs are implemented through cooperative activities that: build on high-quality existing community resources to create a new range of educational services for most-in-need families; promote the academic achievement of children and adults; assist children from low-income families to meet challenging State content and student achievement standards; and use instructional programs that are based on scientifically

based reading research and on the prevention of reading difficulties for children and adults, to the extent such research is available. A description of the required fifteen program elements for which funds must be used is included in the application package.

Priorities: Under this competition we are particularly interested in applications that address the following invitational priorities.

Invitational Priorities: For FY 2005 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are invitational priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets these invitational priorities a competitive or absolute preference over other applications.

These priorities are:

Invitational Priority 1 -- Early Childhood Education  
Service in a Group Setting

The Secretary is especially interested in programs that offer center-based early childhood education services.

The research in early childhood education shows that educational services for young children that are provided in a center are more likely to be intensive and, therefore, more likely to result in significant learning outcomes than non-center-based services. For example, the Third National Even

Start Evaluation showed that children who participated more intensively in early childhood education scored higher on standardized literacy skills. A center is defined, for the purpose of this competition, as a place where early childhood educational services can be provided to a group of children from multiple households.

Invitational Priority 2 -- Early Childhood Education  
Services Provided for Minimum of a 3-year Age Range

The Secretary is especially interested in Even Start tribal projects that provide early childhood education services for children for at least a 3-year age range, which may begin at birth, in order to enhance the early language, literacy, and early reading development of preschool-age children.

Under the statutory requirements that apply to the State-administered Even Start Family Literacy program, local programs must serve a 3-year age range of children, which may begin at birth. This priority would encourage tribal Even Start programs to serve a similar age range in order to enhance early language, literacy, and early reading development of preschool-age children.

Program Authority: 20 U.S.C. 6381a(a)(1)(C).

Applicable Regulations: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 80, 81, 82, 84, 85, 86, 97, 98, and 99.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

## II. Award Information

Type of Award: Discretionary grant.

Estimated Available Funds: \$4,975,000. Contingent upon the availability of funds and quality of applications we may make additional awards in subsequent years from the list of unfunded applicants from this competition.

Estimated Range of Awards: \$150,000 - \$250,000 per year.

Estimated Average Size of Awards: \$200,000 per year.

Estimated Number of Awards: 20 - 33.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 48 months.

## III. Eligibility Information

1. Eligible Applicants: Federally recognized Indian tribes and tribal organizations. Applicable definitions of the terms "Indian tribe" and "tribal organization" are in section 4 of the Indian Self-Determination and Education Assistance Act, 25 U.S.C. 450b.

2. Cost Sharing or Matching: Cost sharing requirements for these grants are detailed in section 1234(b) of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001 (ESEA).

3. Other: In general, a family is eligible to participate in an Even Start project for Indian tribes and tribal organizations if they qualify under the following requirements: (a) the parent(s) is eligible to participate in adult education and literacy activities under the Adult Education and Family Literacy Act, the parent(s) is within the State's compulsory school attendance age range (in which case a local educational agency must provide or ensure the availability of the basic education component), or the parent(s) is attending secondary school; and (b) the child (or children) is younger than eight years of age. More specific information on family eligibility is contained in section 1236 of the ESEA.

#### IV. Application and Submission Information

1. Address to Request Application Package: You may obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain an application via the Internet, use the following address:

<http://www.ed.gov/programs/evenstartindian/applicant.html> To obtain a copy from ED Pubs, write or call the following:

Education Publications Center, P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll-free): 1-800-576-7734.

You may also contact ED Pubs at its Web site:



<http://www.ed.gov/pubs/edpubs.html> or you may contact ED Pubs at its e-mail address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov)

If you request an application package from ED Pubs, be sure to identify this competition as follows: CFDA number 84.258A.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in section VII of this notice.

## 2. Content and Form of Application Submission:

Requirements concerning the content of the application, together with the forms you must submit, are in the application package for this competition.

**Page and Appendices Limits:** The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the narrative in Part III of the application to the equivalent of no more than 25 typed pages. Part IV of the application is where you, the applicant, provide a budget narrative that reviewers use to evaluate your application. You must limit the budget narrative in Part IV of the application to the equivalent of no more than 3 typed pages. For all page limits, use the following standards:

- The page limits do not apply to: the cover

sheet; the one-page abstract; the budget forms; assurances and certifications (included in Section E of the application package); and the endnotes included as an Appendix for Part III of your application (see section C of the application package).

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.

- Double space (no more than three lines per vertical inch) all text in the application and budget narratives, including titles, headings, footnotes, quotations, references, and captions. Text in tables, charts, graphs, and the limited Appendices may be single spaced.

- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch). You may use other point fonts for any tables, charts, graphs, and the limited Appendices, but those tables, charts, graphs and limited Appendices should be in a font size that is easily readable by the reviewers of your application.

- Any tables, charts, or graphs are included in the overall application narrative and budget narrative page limits. The limited Appendices are not part of these page limits.

- Appendices are limited to the following:  
the curriculum vitae or position descriptions of no more than 5 people (including key contract personnel and consultants); and

endnote citations of no more than 2 pages for the scientifically based reading research upon which your instructional programs are based.

- Other application materials are limited to the specific materials indicated in the application package and may not include any video or other non-print materials.

Our reviewers will not read any pages of your application that--

- Exceed the page limits if you apply these standards;

or

- Exceed the equivalent of the page limits if you apply other standards.

In addition, our reviewers will not read or view any Appendices or enclosures (including non-print materials such as videotapes or CDs) other than those described in this notice and the application package.

### 3. Submission Dates and Times:

Applications Available: February 18, 2005.

Deadline for Transmittal of Applications: April 11, 2005.

Applications for grants under this program may be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants system, or in paper format by mail or hand delivery. For information (including dates and times) about how to submit your

application electronically, or by mail or hand delivery, please refer to section IV. 6. Other Submission Requirements in this notice.

We do not consider an application that does not comply with the deadline requirements.

4. Intergovernmental Review: This program is not subject to Executive Order 12372 and the regulations in 34 CFR part 79.

5. Funding Restrictions: Recipients of an Even Start Indian tribe and tribal organization grant may not use funds awarded under this competition for the indirect costs of a project, or claim indirect costs as part of the local project share. (section 1234(b)(3) of the ESEA) Grant recipients may request that the Secretary waive this requirement under appropriate circumstances. To obtain a waiver, a recipient must demonstrate to the Secretary's satisfaction that the recipient otherwise would not be able to participate in the Even Start program. (section 1234(b)(2) of the ESEA) Information about requesting a waiver is in the application package. We reference regulations outlining additional funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Applications for grants under this program may be submitted electronically or in paper format by mail or hand delivery.

a. Electronic Submission of Applications.

If you submit your application to us electronically, you must use e-Application available through the Department's e-Grants system, accessible through the e-Grants portal page at: <http://e-grants.ed.gov>.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us. Please note the following:

- Your participation in e-Application is voluntary.
- You must complete the electronic submission of your grant application by 4:30 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this competition after 4:30 p.m., Washington, DC time, on the application deadline date.

Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

- The regular hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday, Washington, DC time. Please note that the system is unavailable on Sundays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time, for maintenance. Any modifications to these hours are posted on the e-Grants Web site.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you submit your application in paper format.

- You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- Any narrative sections of your application should be attached as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format.

- Your electronic application must comply with any page limit requirements described in this notice.

- Prior to submitting your electronic application, you may wish to print a copy of it for your records.

- After you electronically submit your application, you will receive an automatic acknowledgement that will include a PR/Award number (an identifying number unique to your application).

- Within three working days after submitting your electronic application, fax a signed copy of the ED 424 to the Application Control Center after following these steps:

1. Print ED 424 from e-Application.
2. The applicant's Authorizing Representative must sign this form.

3. Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the ED 424.

4. Fax the signed ED 424 to the Application Control Center at (202) 245-6272.

- We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of System

Unavailability: If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

1. You are a registered user of e-Application, and you have initiated an e-Application for this competition; and

2. (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

(b) The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system

unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see section VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If the system is down and therefore the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application.

Extensions referred to in this section apply only to the unavailability of the Department's e-Application system. If the e-Application system is available, and, for any reason, you are unable to submit your application electronically or you do not receive an automatic acknowledgement of your submission, you may submit your application in paper format by mail or hand delivery in accordance with the instructions in this notice.

b. Submission of Paper Applications by Mail.

If you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.258A)  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260



or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center - Stop 4260  
Attention: (CFDA Number 84.258A)  
7100 Old Landover Road  
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you submit your application in paper format by hand delivery, you (or a courier service) must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.258A)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department:

1. You must indicate on the envelope and -- if not provided by the Department -- in Item 4 of the ED 424 the CFDA number -- and suffix letter, if any -- of the competition under which you are submitting your application.
2. The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgement within 15

business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

## V. Application Review Information

1. Selection Criteria: The following selection criteria for this competition are from 34 CFR 75.210 of EDGAR. Further information about each of these selection criteria is in the application package. The maximum score for each criterion is indicated in parentheses after each criterion.

(a) Quality of the project design. (30 points) The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

(1) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (34 CFR 75.210(c)(2)(ii))

(2) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (34 CFR 75.210(c)(2)(xiii))

(3) The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population. (34 CFR 75.210(c)(2)(xvii))

(b) Quality of project services. (25 points) The Secretary considers the quality of the services to be provided by the proposed project. In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (34 CFR 75.210(d)(2)) In addition, the Secretary considers the following factors:

(1) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services. (34 CFR 75.210(d)(3)(v))

(2) The likelihood that the services to be provided by the proposed project will lead to improvements in the achievement of students as measured against rigorous academic standards. (34 CFR 75.210(d)(3)(vii))

(3) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services. (34 CFR 75.210(d)(3)(ix))

(c) Quality of project personnel. (10 points) The

Secretary considers the quality of the personnel who will carry out the proposed project. In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (34 CFR 75.210(e)(2)) In addition, the Secretary considers the following factors:

(1) The qualifications, including relevant training and experience, of the project director or principal investigator. (34 CFR 75.210(e)(3)(i))

(2) The qualifications, including relevant training and experience, of key project personnel. (34 CFR 75.210(e)(3)(ii))

(3) The qualifications, including relevant training and experience, of project consultants or subcontractors. (34 CFR 75.210(e)(2)(iii))

(d) Adequacy of resources. (10 points) The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(1) The adequacy of support, including facilities,

equipment, supplies, and other resources, from the applicant organization or the lead applicant organization. (34 CFR 75.210(f)(2)(i))

(2) The extent to which the budget is adequate to support the proposed project. (34 CFR 75.210(f)(2)(iii))

(e) Quality of the management plan. (10 points) The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers the adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (34 CFR 75.210(g)(2)(i))

(f) Quality of the project evaluation. (15 points) The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factors:

(1) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (34 CFR 75.210(h)(2)(i))

(2) The extent to which the methods of evaluation

will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (34 CFR 75.210(h)(2)(vi))

## VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may also notify you informally.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report

that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118. For specific requirements on grantee reporting, please go to:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

4. Performance Measures: Under the Government Performance and Results Act (GPRA), the Secretary has established the following measures for evaluating the overall effectiveness of the Even Start program, which Tribal Even Start projects are expected to use: (1) percentage of adults who achieve significant learning gains on measures of literacy, and percentage of limited English proficient (LEP) adults who achieve significant learning gains on measures of English language acquisition, as measured by the Comprehensive Adult Student Assessment System (CASAS) or the Tests of Adult Basic Education (TABE); (2) percentage of Even Start adults with a high school completion goal or a percentage of those with a General Equivalency Diploma (GED) attainment goal who earn a high school diploma or equivalent; (3) percentage of Even Start children entering kindergarten who demonstrate age-appropriate development of receptive language as measured by the Peabody Picture Vocabulary Test-III (PPVT-III); and (4) the average number of letters that Even Start children are able to identify as measured by the Uppercase Letter Naming subtask on the PALS



Pre-K assessment. All grantees will be expected to submit an annual performance report documenting their success in addressing these performance measures.

## VII. Agency Contact

For Further Information Contact: Doris Sligh, U.S. Department of Education, 400 Maryland Avenue, SW., room 3W246, Washington, DC 20202-6132. Telephone: (202) 260-0968, or by e-mail: Doris.Sligh@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed in this section.

## VIII. Other Information

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

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Dated:

/s/ \_\_\_\_\_  
Raymond Simon,  
Assistant Secretary for  
Elementary and Secondary  
Education.

**Even Start Statute (Title I, Part B, Subpart 3, of the ESEA)**



**Title I, Part B, Subpart 3, Elementary and Secondary Education Act of 1965, as amended -  
William F. Goodling Even Start Family Literacy Programs**

**SEC. 1231. STATEMENT OF PURPOSE.**

It is the purpose of this subpart to help break the cycle of poverty and illiteracy by —

(1) improving the educational opportunities of the Nation's low-income families by integrating early childhood education, adult literacy or adult basic education, and parenting education into a unified family literacy program, to be referred to as 'Even Start'; and

(2) establishing a program that shall —

(A) be implemented through cooperative projects that build on high-quality existing community resources to create a new range of services;

(B) promote the academic achievement of children and adults;

(C) assist children and adults from low-income families to achieve to challenging State content standards and challenging State student achievement standards; and

(D) use instructional programs based on scientifically based reading research and addressing the prevention of reading difficulties for children and adults, to the extent such research is available.

**SEC. 1232. PROGRAM AUTHORIZED.**

(a) RESERVATION FOR MIGRANT PROGRAMS, OUTLYING AREAS, AND INDIAN TRIBES-

(1) IN GENERAL- For each fiscal year, the Secretary shall reserve 5 percent of the amount appropriated under section 1002(b)(3) (or, if such appropriated amount exceeds \$200,000,000, 6 percent of such amount) for programs, under such terms and conditions as the Secretary shall establish, that are consistent with the purpose of this subpart, and according to their relative needs, for —

(A) children of migratory workers;

(B) the outlying areas; and

(C) Indian tribes and tribal organizations.

(2) SPECIAL RULE- After December 21, 2000, the Secretary shall award a grant, on a competitive basis, of sufficient size and for a period of sufficient duration to demonstrate the effectiveness of a family literacy program in a prison that houses women and their preschool age children and that has the capability of developing a program of high quality.

(3) COORDINATION OF PROGRAMS FOR AMERICAN INDIANS- The Secretary shall ensure that programs under paragraph (1)(C) are coordinated with family literacy programs operated by the Bureau of Indian Affairs in order to avoid duplication and to encourage the dissemination of information on high-quality family literacy programs serving American Indians.

(b) RESERVATION FOR FEDERAL ACTIVITIES-

(1) EVALUATION, TECHNICAL ASSISTANCE, PROGRAM IMPROVEMENT, AND REPLICATION ACTIVITIES- Subject to paragraph (2), from amounts appropriated under section 1002(b)(3), the Secretary may reserve not more than 3 percent of such amounts for purposes of —

(A) carrying out the evaluation required by section 1239; and

(B) providing, through grants or contracts with eligible organizations, technical assistance, program improvement, and replication activities.

(2) RESEARCH- In any fiscal year, if the amount appropriated under section 1002(b)(3) for such year —

(A) is equal to or less than the amount appropriated for the preceding fiscal year, the Secretary may reserve from such amount only the amount necessary to continue multi-year activities carried out pursuant to section 1241(b) that began during or prior to the fiscal year preceding the fiscal year for which the determination is made; or

(B) exceeds the amount appropriated for the preceding fiscal year, then the Secretary shall reserve from such excess amount \$2,000,000 or 50 percent, whichever is less, to carry out section 1241(b).

(c) RESERVATION FOR GRANTS-

(1) GRANTS AUTHORIZED-

(A) IN GENERAL- For any fiscal year for which at least one State educational agency applies and submits an application that meets the requirements and goals of this subsection and for which the amount appropriated under section 1002(b)(3) exceeds the amount appropriated under that section for the preceding fiscal year, the Secretary shall reserve, from the amount of the excess remaining after the application of subsection (b)(2), the amount of the remainder or \$1,000,000, whichever is less, to award grants, on a competitive basis, to State educational agencies to enable them to plan and implement statewide family literacy initiatives to coordinate and, where appropriate, integrate existing Federal, State, and local literacy resources consistent with the purposes of this subpart.

(B) COORDINATION AND INTEGRATION- The coordination and integration described in subparagraph (A) shall include coordination and integration of funds available under the Adult Education and Family Literacy Act, the Head Start Act, this subpart, part A of this title, and part A of title IV of the Social Security Act.

(C) RESTRICTION- No State educational agency may receive more than one grant under this subsection.

(2) CONSORTIA-

(A) ESTABLISHMENT- To receive a grant under this subsection, a State educational agency shall establish a consortium of State-level programs under the following provisions of laws:

(i) This title (other than part D).

(ii) The Head Start Act.

(iii) The Adult Education and Family Literacy Act.

(iv) All other State-funded preschool programs and programs providing literacy services to adults.

(B) PLAN- To receive a grant under this subsection, the consortium established by a State educational agency shall create a plan to use a portion of the State educational agency's resources, derived from the programs referred to in subparagraph (A), to strengthen and expand family literacy services in the State.

(C) COORDINATION WITH SUBPART 1- The consortium shall coordinate its activities under this paragraph with the activities of the reading and literacy partnership for the State educational agency established under section 1203(d), if the State educational agency receives a grant under section 1202.

(3) READING INSTRUCTION- Statewide family literacy initiatives implemented under this subsection shall base reading instruction on scientifically based reading research.

(4) TECHNICAL ASSISTANCE- The Secretary shall provide, directly or through a grant or contract with an organization with experience in the development and operation of successful family literacy services, technical assistance to State educational agencies receiving a grant under this subsection.

(5) MATCHING REQUIREMENT- The Secretary shall not make a grant to a State educational agency under this subsection unless the State educational agency agrees that, with respect to the costs to be incurred by the eligible consortium in carrying out the activities for which the grant was awarded, the State educational agency will make available non-Federal contributions in an amount equal to not less than the Federal funds provided under the grant.

(d) STATE EDUCATIONAL AGENCY ALLOCATION-

(1) IN GENERAL- From amounts appropriated under section 1002(b)(3) and not reserved under subsection (a), (b), or (c), the Secretary shall make grants to State educational agencies from allocations under paragraph (2).

(2) ALLOCATIONS- Except as provided in paragraph (3), from the total amount available under paragraph (1) for allocation to State educational agencies in any fiscal year, each State educational agency shall be eligible to receive a grant under paragraph (1) in an amount that bears the same ratio to the total amount as the amount allocated under part A to that State educational agency bears to the total amount allocated under that part to all State educational agencies.

(3) MINIMUM- No State educational agency shall receive a grant under paragraph (1) in any fiscal year in an amount that is less than \$250,000, or one-half of 1 percent of the amount appropriated under section 1002(b)(3) and not reserved under subsections (a), (b), and (c) for such year, whichever is greater.

(e) DEFINITIONS- For the purpose of this subpart —

(1) the term 'eligible entity' means a partnership composed of —

(A) a local educational agency; and

(B) a nonprofit community-based organization, a public agency other than a local educational agency, an institution of higher education, or a public or private nonprofit organization other than a local educational agency, of demonstrated quality;

(2) the term 'eligible organization' means any public or private nonprofit organization with a record of providing effective services to family literacy providers, such as the National Center for Family Literacy, Parents as Teachers, Inc., the Home Instruction Program for Preschool Youngsters, and the Home and School Institute, Inc.;

(3) the terms 'Indian tribe' and 'tribal organization' have the meanings given those terms in section 4 of the Indian Self-Determination and Education Assistance Act;

(4) the term 'scientifically based reading research' has the meaning given that term in section 1208; and

(5) the term 'State' means each of the 50 States, the District of Columbia, and the Commonwealth of Puerto Rico.

#### SEC. 1233. STATE EDUCATIONAL AGENCY PROGRAMS.

(a) STATE EDUCATIONAL AGENCY LEVEL ACTIVITIES- Each State educational agency that receives a grant under section 1232(d)(1) may use not more than a total of 6 percent of the grant funds for the costs of —

(1) administration, which amount shall not exceed half of the total;

(2) providing, through one or more subgrants or contracts, technical assistance for program improvement and replication, to eligible entities that receive subgrants under subsection (b); and

(3) carrying out sections 1240 and 1234(c).

(b) SUBGRANTS FOR LOCAL PROGRAMS-

(1) IN GENERAL- Each State educational agency shall use the grant funds received under section 1232(d)(1) and not reserved under subsection (a) to award subgrants to eligible entities to carry out Even Start programs.

(2) MINIMUM SUBGRANT AMOUNTS-

(A) IN GENERAL- Except as provided in subparagraphs (B) and (C), no State educational agency shall award a subgrant under paragraph (1) in an amount less than \$75,000.

(B) SUBGRANTEES IN NINTH AND SUCCEEDING YEARS- No State educational agency shall award a subgrant under paragraph (1) in an amount less than \$52,500 to an eligible entity for a fiscal year to carry out an Even Start program that is receiving assistance under this subpart or its predecessor authority for the ninth (or any subsequent) fiscal year.

(C) EXCEPTION FOR SINGLE SUBGRANT- A State educational agency may award one subgrant in each fiscal year of sufficient size, scope, and quality to be effective in an amount less than \$75,000 if, after awarding subgrants under paragraph (1) for that fiscal year in accordance with subparagraphs (A) and (B), less than \$75,000 is available to the State educational agency to award those subgrants.

#### SEC. 1234. USES OF FUNDS.

(a) IN GENERAL- In carrying out an Even Start program under this subpart, a recipient of funds under this subpart shall use those funds to pay the Federal share of the cost of providing intensive family literacy services that involve parents and children, from birth through age 7, in a cooperative effort to help parents become full partners in the education of their children and to assist children in reaching their full potential as learners.

#### (b) FEDERAL SHARE LIMITATION-

##### (1) IN GENERAL-

(A) FEDERAL SHARE- Except as provided in paragraph (2), the Federal share under this subpart may not exceed —

- (i) 90 percent of the total cost of the program in the first year that the program receives assistance under this subpart or its predecessor authority;
- (ii) 80 percent in the second year;
- (iii) 70 percent in the third year;
- (iv) 60 percent in the fourth year;
- (v) 50 percent in the fifth, sixth, seventh, and eighth such years; and
- (vi) 35 percent in any subsequent year.

(B) REMAINING COST- The remaining cost of a program assisted under this subpart may be provided in cash or in kind, fairly evaluated, and may be obtained from any source, including other Federal funds under this Act.

(2) WAIVER- The State educational agency may waive, in whole or in part, the Federal share described in paragraph (1) for an eligible entity if the entity —

(A) demonstrates that it otherwise would not be able to participate in the program assisted under this subpart; and

(B) negotiates an agreement with the State educational agency with respect to the amount of the remaining cost to which the waiver will be applicable.

(3) PROHIBITION- Federal funds provided under this subpart may not be used for the indirect costs of a program assisted under this subpart, except that the Secretary may waive this paragraph if an eligible recipient of funds reserved under section 1232(a)(1)(C) demonstrates to the Secretary's satisfaction that the recipient otherwise would not be able to participate in the program assisted under this subpart.

#### (c) USE OF FUNDS FOR FAMILY LITERACY SERVICES-

(1) IN GENERAL- A State educational agency may use a portion of funds reserved under section 1233(a), to assist eligible entities receiving a subgrant under section 1233(b) in improving the quality of family literacy services provided under Even Start programs under this subpart, except that in no case may a State educational agency's use of funds for this purpose for a fiscal year result in a decrease from the level of activities and services provided to program participants in the preceding year.

(2) PRIORITY- In carrying out paragraph (1), a State educational agency shall give priority to programs that were of low quality, as evaluated based on the indicators of program quality developed by the State educational agency under section 1240.

(3) TECHNICAL ASSISTANCE TO HELP LOCAL PROGRAMS RAISE ADDITIONAL FUNDS- In carrying out paragraph (1), a State educational agency may use the funds referred to in that paragraph to provide technical assistance to help local programs of demonstrated effectiveness to access



and leverage additional funds for the purpose of expanding services and reducing waiting lists, including requesting and applying for non-Federal resources.

(4) TECHNICAL ASSISTANCE AND TRAINING- Assistance under paragraph (1) shall be in the form of technical assistance and training, provided by a State educational agency through a grant, contract, or cooperative agreement with an entity that has experience in offering high-quality training and technical assistance to family literacy providers.

#### SEC. 1235. PROGRAM ELEMENTS.

Each program assisted under this subpart shall —

(1) include the identification and recruitment of families most in need of services provided under this subpart, as indicated by a low level of income, a low level of adult literacy or English language proficiency of the eligible parent or parents, and other need-related indicators;

(2) include screening and preparation of parents, including teenage parents, and children to enable those parents and children to participate fully in the activities and services provided under this subpart, including testing, referral to necessary counselling, other developmental and support services, and related services;

(3) be designed to accommodate the participants' work schedule and other responsibilities, including the provision of support services, when those services are unavailable from other sources, necessary for participation in the activities assisted under this subpart, such as —

(A) scheduling and locating of services to allow joint participation by parents and children;

(B) child care for the period that parents are involved in the program provided under this subpart; and

(C) transportation for the purpose of enabling parents and their children to participate in programs authorized by this subpart;

(4) include high-quality, intensive instructional programs that promote adult literacy and empower parents to support the educational growth of their children, developmentally appropriate early childhood educational services, and preparation of children for success in regular school programs;

(5) with respect to the qualifications of staff the cost of whose salaries are paid, in whole or in part, with Federal funds provided under this subpart, ensure that —

(A) not later than December 21, 2004 —

(i) a majority of the individuals providing academic instruction —

(I) shall have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary school or secondary school education, or adult education; and

(II) if applicable, shall meet qualifications established by the State for early childhood education, elementary school or secondary school education, or adult education provided as part of an Even Start program or another family literacy program;

(ii) the individual responsible for administration of family literacy services under this subpart has received training in the operation of a family literacy program; and

(iii) paraprofessionals who provide support for academic instruction have a secondary school diploma or its recognized equivalent; and

(B) all new personnel hired to provide academic instruction —

(i) have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary school or secondary school education, or adult education; and

(ii) if applicable, meet qualifications established by the State for early childhood education, elementary school or secondary school education, or adult education provided as part of an Even Start program or another family literacy program;

- (6) include special training of staff, including child-care staff, to develop the skills necessary to work with parents and young children in the full range of instructional services offered through this subpart;
- (7) provide and monitor integrated instructional services to participating parents and children through home-based programs;
- (8) operate on a year-round basis, including the provision of some program services, including instructional and enrichment services, during the summer months;
- (9) be coordinated with —
  - (A) other programs assisted under this Act;
  - (B) any relevant programs under the Adult Education and Family Literacy Act, the Individuals with Disabilities Education Act, and title I of the Workforce Investment Act of 1998; and
  - (C) the Head Start program, volunteer literacy programs, and other relevant programs;
- (10) use instructional programs based on scientifically based reading research for children and adults, to the extent that research is available;
- (11) encourage participating families to attend regularly and to remain in the program a sufficient time to meet their program goals;
- (12) include reading-readiness activities for preschool children based on scientifically based reading research, to the extent available, to ensure that children enter school ready to learn to read;
- (13) if applicable, promote the continuity of family literacy to ensure that individuals retain and improve their educational outcomes;
- (14) ensure that the programs will serve those families most in need of the activities and services provided by this subpart; and
- (15) provide for an independent evaluation of the program, to be used for program improvement.

#### SEC. 1236. ELIGIBLE PARTICIPANTS.

(a) IN GENERAL- Except as provided in subsection (b), eligible participants in an Even Start program are —

- (1) a parent or parents —
  - (A) who are eligible for participation in adult education and literacy activities under the Adult Education and Family Literacy Act; or
  - (B) who are within the State's compulsory school attendance age range, so long as a local educational agency provides (or ensures the availability of) the basic education component required under this subpart, or who are attending secondary school; and
- (2) the child or children, from birth through age 7, of any individual described in paragraph (1).

(b) ELIGIBILITY FOR CERTAIN OTHER PARTICIPANTS-

(1) IN GENERAL- Family members of eligible participants described in subsection (a) may participate in activities and services provided under this subpart, when appropriate to serve the purpose of this subpart.

(2) SPECIAL RULE- Any family participating in a program assisted under this subpart that becomes ineligible to participate as a result of one or more members of the family becoming ineligible to participate may continue to participate in the program until all members of the family become ineligible to participate, which —

- (A) in the case of a family in which ineligibility was due to the child or children of the family attaining the age of 8, shall be in 2 years or when the parent or parents become ineligible due to educational advancement, whichever occurs first; and
- (B) in the case of a family in which ineligibility was due to the educational advancement of the parent or parents of the family, shall be when all children in the family attain the age of 8.

(3) CHILDREN 8 YEARS OF AGE OR OLDER- If an Even Start program assisted under this subpart collaborates with a program under part A, and funds received under the part A program contribute

to paying the cost of providing programs under this subpart to children 8 years of age or older, the Even Start program may, notwithstanding subsection (a)(2), permit the participation of children 8 years of age or older if the focus of the program continues to remain on families with young children.

#### SEC. 1237. APPLICATIONS.

(a) SUBMISSION- To be eligible to receive a subgrant under this subpart, an eligible entity shall submit an application to the State educational agency in such form and containing or accompanied by such information as the State educational agency shall require.

(b) REQUIRED DOCUMENTATION- Each application shall include documentation, satisfactory to the State educational agency, that the eligible entity has the qualified personnel needed —

- (1) to develop, administer, and implement an Even Start program under this subpart; and
- (2) to provide access to the special training necessary to prepare staff for the program, which may be offered by an eligible organization.

(c) PLAN-

(1) IN GENERAL- The application shall also include a plan of operation and continuous improvement for the program, that includes —

(A) a description of the program objectives, strategies to meet those objectives, and how those strategies and objectives are consistent with the program indicators established by the State;

(B) a description of the activities and services that will be provided under the program, including a description of how the program will incorporate the program elements required by section 1235;

(C) a description of the population to be served and an estimate of the number of participants to be served;

(D) as appropriate, a description of the applicant's collaborative efforts with institutions of higher education, community-based organizations, the State educational agency, private elementary schools, or other eligible organizations in carrying out the program for which assistance is sought;

(E) a statement of the methods that will be used —

(i) to ensure that the programs will serve families most in need of the activities and services provided by this subpart;

(ii) to provide services under this subpart to individuals with special needs, such as individuals with limited English proficiency and individuals with disabilities; and

(iii) to encourage participants to remain in the program for a time sufficient to meet the program's purpose;

(F) a description of how the plan is integrated with other programs under this Act or other Acts, as appropriate; and

(G) a description of how the plan provides for rigorous and objective evaluation of progress toward the program objectives described in subparagraph (A) and for continuing use of evaluation data for program improvement.

(2) DURATION OF THE PLAN- Each plan submitted under paragraph (1) shall —

(A) remain in effect for the duration of the eligible entity's participation under this subpart; and

(B) be periodically reviewed and revised by the eligible entity as necessary.

(d) CONSOLIDATED APPLICATION- The plan described in subsection (c)(1) may be submitted as part of a consolidated application under section 9305.

#### SEC. 1238. AWARD OF SUBGRANTS.

(a) SELECTION PROCESS-

(1) IN GENERAL- The State educational agency shall establish a review panel in accordance with paragraph (3) that will approve applications that —

(A) are most likely to be successful in —

(i) meeting the purpose of this subpart; and

(ii) effectively implementing the program elements required under section 1235;

(B) demonstrate that the area to be served by the program has a high percentage or a large number of children and families who are in need of those services as indicated by high levels of poverty, illiteracy, unemployment, limited English proficiency, or other need-related indicators, such as a high percentage of children to be served by the program who reside in a school attendance area served by a local educational agency eligible for participation in programs under part A, a high number or percentage of parents who have been victims of domestic violence, or a high number or percentage of parents who are receiving assistance under a State program funded under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.);

(C) provide services for at least a 3-year age range, which may begin at birth;

(D) demonstrate the greatest possible cooperation and coordination between a variety of relevant service providers in all phases of the program;

(E) include cost-effective budgets, given the scope of the application;

(F) demonstrate the applicant's ability to provide the non-Federal share required by section 1234(b);

(G) are representative of urban and rural regions of the State; and

(H) show the greatest promise for providing models that may be adopted by other family literacy projects and other local educational agencies.

(2) PRIORITY FOR SUBGRANTS- The State educational agency shall give priority for subgrants under this subsection to applications that —

(A) target services primarily to families described in paragraph (1)(B); or

(B) are located in areas designated as empowerment zones or enterprise communities.

(3) REVIEW PANEL- A review panel shall consist of at least three members, including one early childhood professional, one adult education professional, and one individual with expertise in family literacy programs, and may include other individuals, such as one or more of the following:

(A) A representative of a parent-child education organization.

(B) A representative of a community-based literacy organization.

(C) A member of a local board of education.

(D) A representative of business and industry with a commitment to education.

(E) An individual who has been involved in the implementation of programs under this title in the State.

(b) DURATION-

(1) IN GENERAL- Subgrants under this subpart may be awarded for a period not to exceed 4 years.

(2) STARTUP PERIOD- The State educational agency may provide subgrant funds to an eligible recipient, at the recipient's request, for a 3- to 6-month start-up period during the first year of the 4-year grant period, which may include staff recruitment and training, and the coordination of services, before requiring full implementation of the program.

(3) CONTINUING ELIGIBILITY- In awarding subgrant funds to continue a program under this subpart after the first year, the State educational agency shall review the progress of each eligible entity in meeting the objectives of the program referred to in section 1237(c)(1)(A) and shall evaluate the program based on the indicators of program quality developed by the State under section 1240.

(4) INSUFFICIENT PROGRESS- The State educational agency may refuse to award subgrant funds to an eligible entity if the agency finds that the eligible entity has not sufficiently improved the performance of the program, as evaluated based on the indicators of program quality developed by the State under section 1240, after —

- (A) providing technical assistance to the eligible entity; and
  - (B) affording the eligible entity notice and an opportunity for a hearing.
- (5) GRANT RENEWAL- (A) An eligible entity that has previously received a subgrant under this subpart may reapply under this subpart for additional subgrants.
- (B) The Federal share of any subgrant renewed under subparagraph (A) shall be limited in accordance with section 1234(b).

#### SEC. 1239. EVALUATION.

From funds reserved under section 1232(b)(1), the Secretary shall provide for an independent evaluation of programs assisted under this subpart —

- (1) to determine the performance and effectiveness of programs assisted under this subpart;
- (2) to identify effective Even Start programs assisted under this subpart that can be duplicated and used in providing technical assistance to Federal, State, and local programs; and
- (3) to provide State educational agencies and eligible entities receiving a subgrant under this subpart, directly or through a grant or contract with an organization with experience in the development and operation of successful family literacy services, technical assistance to ensure that local evaluations undertaken under section 1235(15) provide accurate information on the effectiveness of programs assisted under this subpart.

#### SEC. 1240. INDICATORS OF PROGRAM QUALITY.

Each State educational agency receiving funds under this subpart shall develop, based on the best available research and evaluation data, indicators of program quality for programs assisted under this subpart. The indicators shall be used to monitor, evaluate, and improve those programs within the State. The indicators shall include the following:

- (1) With respect to eligible participants in a program who are adults —
  - (A) achievement in the areas of reading, writing, English-language acquisition, problem solving, and numeracy;
  - (B) receipt of a secondary school diploma or a general equivalency diploma (GED);
  - (C) entry into a postsecondary school, job retraining program, or employment or career advancement, including the military; and
  - (D) such other indicators as the State may develop.
- (2) With respect to eligible participants in a program who are children —
  - (A) improvement in ability to read on grade level or reading readiness;
  - (B) school attendance;
  - (C) grade retention and promotion; and
  - (D) such other indicators as the State may develop.

#### SEC. 1241. RESEARCH.

(a) IN GENERAL- The Secretary shall carry out, through grant or contract, research into the components of successful family literacy services, in order to —

- (1) improve the quality of existing programs assisted under this subpart or other family literacy programs carried out under this Act or the Adult Education and Family Literacy Act; and
- (2) develop models for new programs to be carried out under this Act or the Adult Education and Family Literacy Act.

(b) SCIENTIFICALLY BASED RESEARCH ON FAMILY LITERACY-

- (1) IN GENERAL- From amounts reserved under section 1232(b)(2), the National Institute for Literacy, in consultation with the Secretary, shall carry out research that —
  - (A) is scientifically based reading research; and
  - (B) determines —

(i) the most effective ways of improving the literacy skills of adults with reading difficulties; and

(ii) how family literacy services can best provide parents with the knowledge and skills the parents need to support their children's literacy development.

(2) USE OF EXPERT ENTITY- The National Institute for Literacy, in consultation with the Secretary, shall carry out the research under paragraph (1) through an entity, including a Federal agency, that has expertise in carrying out longitudinal studies of the development of literacy skills in children and has developed effective interventions to help children with reading difficulties.

(c) DISSEMINATION- The National Institute for Literacy shall disseminate, pursuant to section 1207, the results of the research described in subsections (a) and (b) to State educational agencies and recipients of subgrants under this subpart.

#### SEC. 1242. CONSTRUCTION.

Nothing in this subpart shall be construed to prohibit a recipient of funds under this subpart from serving students participating in Even Start simultaneously with students with similar educational needs, in the same educational settings where appropriate.

## RELEVANT STATUTORY DEFINITIONS

The following definitions are applicable to this notice and grant competition:

**“Family literacy services”** means services provided to participants on a voluntary basis that are of sufficient intensity in terms of hours, and of sufficient duration, to make sustainable changes in a family, and that integrates all of the following instructional activities:

- (A) Interactive literacy activities between parents and their children.
  - (B) Training for parents regarding how to be the primary teacher for their children and full partners in the education of their children.
  - (C) Parent literacy training that leads to economic self-sufficiency,
  - (D) An age-appropriate education to prepare children for success in school and life experiences.
- (Section 9101(20) of the ESEA.)

**“Indian Tribe”** means any Indian tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688), which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. (Section 4 of the Indian Self-Determination and Education Act.) (See section 1232 (e)(3) of the ESEA.)

**“Parent”** includes a legal guardian or other person standing in loco parentis (such as a grandparent or stepparent with whom the child lives, or a person who is legally responsible for the child’s welfare). (Section 9101(30) of the ESEA.)

**“Professional Development”—**

- (A) includes activities that —
  - (i) improve and increase teachers' knowledge of the academic subjects the teachers teach, and enable teachers to become highly qualified;
  - (ii) are an integral part of broad schoolwide and districtwide educational improvement plans;
  - (iii) give teachers, principals, and administrators the knowledge and skills to provide students with the opportunity to meet challenging State academic content standards and student academic achievement standards;
  - (iv) improve classroom management skills;
  - (v)(I) are high quality, sustained, intensive, and classroom-focused in order to have a positive and lasting impact on classroom instruction and the teacher's performance in the classroom; and
  - (II) are not 1-day or short-term workshops or conferences;
  - (vi) support the recruiting, hiring, and training of highly qualified teachers, including teachers who became highly qualified through State and local alternative routes to certification;
  - (vii) advance teacher understanding of effective instructional strategies that are —
    - (I) based on scientifically based research; and

(II) strategies for improving student academic achievement or substantially increasing the knowledge and teaching skills of teachers; and (viii) are aligned with and directly related to —

(I) State academic content standards, student academic achievement standards, and assessments; and

(II) the curricula and programs tied to the standards described in subclause (I);

(ix) are developed with extensive participation of teachers, principals, parents, and administrators of schools to be served under the ESEA;

(x) are designed to give teachers of limited English proficient children, and other teachers and instructional staff, the knowledge and skills to provide instruction and appropriate language and academic support services to those children, including the appropriate use of curricula and assessments;

(xi) to the extent appropriate, provide training for teachers and principals in the use of technology so that technology and technology applications are effectively used in the classroom to improve teaching and learning in the curricula and core academic subjects in which the teachers teach;

(xii) as a whole, are regularly evaluated for their impact on increased teacher effectiveness and improved student academic achievement, with the findings of the evaluations used to improve the quality of professional development;

(xiii) provide instruction in methods of teaching children with special needs; personnel, and school administrators may work more effectively with parents; and

(B) may include activities that ----

(i) involve the forming of partnerships with institutions of higher education to establish school-based teacher training programs that provide prospective teachers and beginning teachers with an opportunity to work under the guidance of experienced teachers and college faculty;

(ii) create programs to enable paraprofessionals (assisting teachers employed by a local educational agency receiving assistance under part A of title I of the ESEA) to obtain the education necessary for those paraprofessionals to become certified and licensed teachers; and

(iii) provide follow-up training to teachers who have participated in activities described in subparagraph (A) or another clause of this subparagraph that are designed to ensure that the knowledge and skills learned by the teachers are implemented in the classroom.. (Section 9101(34) of the ESEA.)



**“Scientifically based reading research”** means research that—

(A) applies rigorous, systematic, and objective procedures to obtain valid knowledge relevant to reading development, reading instruction, and reading difficulties; and

(B) includes research that—

(i) employs systematic, empirical methods that draw on observation or experiment;

(ii) involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;

(iii) relies on measurements or observational methods that provide valid data across evaluators and observers and across multiple measurements and observations;

(iv) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review. (Section 1208(6) of the ESEA.)

**“Tribal Organization”** means the recognized body of any Indian tribe; any legally established organization of Indians which is controlled, sanctioned, or chartered by such governing body or which is democratically elected by the adult members of the Indian community to be served by such organization and which includes the maximum participation of Indians in all phases of its activities: Provided, That in any case where a contract is let or grant made to an organization to perform services benefiting more than one Indian tribe, the approval of each such Indian tribe shall be a prerequisite to the letting or making of such contract or grant. (Section 4 of the Indian Self-Determination and Education Assistance Act.) (See section 1232(e)(3) of the ESEA.)



## **Section C:**

### **APPLICATION INFORMATION AND PROCEDURES**

Application Background  
Program Information  
Performance Measures  
Application Deadline  
Application Instructions and Procedures  
Invitational Priorities  
Selection Criteria



## **APPLICATION BACKGROUND**

### **Program Purpose**

The purpose of the Even Start Family Literacy Program (Part B, Subpart 3 of Title I, ESEA) is to help break the cycle of poverty and illiteracy by improving the educational opportunities of low-income families by integrating early childhood education, adult literacy or adult basic education and parenting education into a single, unified family literacy program. This portion of Even Start funding is especially authorized for federally recognized Indian tribes and tribal organizations, and is distributed through a competitive process.

The Assistant Secretary for Elementary and Secondary Education awards grants under the authority of section 1232(a)(1)(C) of the Even Start statute to Indian tribes and tribal organizations for local Even Start projects that—

- Improve the educational opportunities of low-income families by integrating early childhood education, adult literacy or adult basic education, and parenting education into a unified family literacy program;
- Are implemented through cooperative projects that build on high-quality existing community resources to create a new range of services;
- Promote the academic achievement of children and adults;
- Assist children and adults from low-income families to achieve to challenging State content standards and challenging State student achievement standards; and
- Use instructional programs based on scientifically based reading research (as defined in section 1208 of the ESEA) and addressing the prevention of reading difficulties for children and adults, to the extent such research is available.

### **Relevant Statutory Definitions**

See Relevant Statutory Definitions in section B of this application package.

### **Applicable Regulations**

The following provisions of the Education Department General Administrative Regulations (EDGAR) contained in Title 34 of the Code of Federal Regulations (CFR) apply to these Tribal Even Start grants: 34 CFR parts 75, 77, 80, 81, 82, 84, 85, 86, 97, 98, and 99. These regulations are available on the Department's website at:

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>.

*Note: Part 80 applies to State and local governments and Indian tribes and tribal organizations.*

### **Agencies Eligible to Apply for a Grant**

Federally recognized Indian tribes and tribal organizations are eligible in this competition to apply for a grant for an Even Start Family Literacy Program project.

### **Number of Estimated Grant To Be Awarded**

An estimated 20 - 33 grants will be awarded.

### **Estimated Amount of Each Grant**

The estimated average range of awards is \$150,000 - \$250,000 per year (estimated average size of awards: \$200,000 per year).

### **Length of Project Period**

A project period covers the entire time a project will operate. Applicants propose the length of their project periods, which may last for up to four years (48 months) for these grants. Generally, applicants propose four-year project periods. The Department encourages applicants to use up to the first three months as a planning and preparation period to acquire and train staff, screen and recruit eligible families that are most in need of family literacy services, and coordinate the community resources that are necessary to provide an integrated family literacy program of early childhood education, adult education, parenting education, and parent-child interactive literacy activities.

## **PROGRAM INFORMATION**

### **Use of Even Start Funds**

Recipients of an Even Start grant for Indian tribes and tribal organizations must use the grant funds (and the local matching or cost share contributions) to provide intensive family literacy services that involve parents and children, generally from birth through age seven, in a cooperative effort to help parents become full partners in the education of their children and to assist their children in reaching their full potential as learners. (Section 1234(a), ESEA).

The term “family literacy services” means services provided to participants on a voluntary basis that are of sufficient intensity in terms of hours, and of sufficient duration, to make sustainable changes in a family, and that integrate all of the following activities:

- Interactive literacy activities between parents and their children;
- Training for parents regarding how to be the primary teacher for their children and full partners in the education of their children (literacy-based parenting education);
- Parent literacy training that leads to economic self-sufficiency (adult basic or secondary education, or English language training); and
- An age-appropriate education to prepare children for success in school and life experiences (early childhood education, including supplemental services for school-age children). (Section 9101(20), ESEA).

## Required Program Elements (or Activities)

Each funded Even Start program must —

(1) include the **identification and recruitment of families most in need of services** provided under this subpart, as indicated by a low level of income, a low level of adult literacy or English language proficiency of the eligible parent or parents, and other need-related indicators;

(2) include **screening and preparation** of parents, including teenage parents, and children to enable those parents and children to participate fully in the activities and services provided under this subpart, including testing, referral to necessary counseling, other developmental and support services, and related services;

(3) be designed to **accommodate the participants' work schedule** and other responsibilities, including the provision of support services, when those services are unavailable from other sources, necessary for participation in the activities assisted under this subpart, such as —

(A) **scheduling and locating of services** to allow joint participation by parents and children;

(B) **child care for the period that parents are involved in the program; and**

(C) **transportation** for the purpose of enabling parents and their children to participate in programs authorized by this subpart;

(4) include **high-quality, intensive instructional programs** that promote adult literacy and empower parents to support the educational growth of their children, developmentally appropriate early childhood educational services, and preparation of children for success in regular school programs;

(5) with respect to the **qualifications of staff** the cost of whose salaries are paid, in whole or in part, with Federal funds provided under this subpart, ensure that —

(A) not later than December 21, 2004 —

(i) a **majority** of the individuals providing academic instruction —

(I) shall have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary school or secondary school education, or adult education; and

(II) if applicable, shall meet qualifications established by the State for early childhood education, elementary school or secondary school education, or adult education provided as part of an Even Start program or another family literacy program;

(ii) the **individual responsible for administration** of family literacy services under this subpart has received **training** in the operation of a family literacy program; and

(iii) **paraprofessionals** who provide support for academic instruction have a secondary school diploma or its recognized equivalent; and

(B) all **new personnel** hired to provide academic instruction —

(i) have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary school or secondary school education, or adult education; and

(ii) if applicable, meet qualifications established by the State for early childhood education, elementary school or secondary school education, or

adult education provided as part of an Even Start program or another family literacy program;

(6) include **special training of staff**, including child-care staff, to develop the skills necessary to work with parents and young children in the full range of instructional services offered through this subpart;

(7) **provide and monitor integrated instructional services** to participating parents and children through home-based programs;

(8) **operate on a year-round basis**, including the provision of some program services, including instructional and enrichment services, during the summer months;

(9) be **coordinated** with —

(A) other programs assisted under this Act;

(B) any relevant programs under the Adult Education and Family Literacy Act, the Individuals with Disabilities Education Act, and title I of the Workforce Investment Act of 1998; and

(C) the Head Start program, volunteer literacy programs, and other relevant programs;

(10) **use instructional programs based on scientifically based reading research** for children and adults, to the extent that research is available;

(11) **encourage participating families to attend regularly** and to remain in the program a sufficient time to meet their program goals;

(12) include **reading-readiness activities** for preschool children based on scientifically based reading research, to the extent available, to ensure that children enter school ready to learn to read;

(13) if applicable, **promote the continuity of family literacy** to ensure that individuals retain and improve their educational outcomes;

(14) ensure that the programs will **serve those families most in need** of the activities and services provided by this subpart; and

(15) provide for an **independent evaluation of the program**, to be used for program improvement. (Section 1235, ESEA).

## Eligible Participants

A family is eligible to participate in an Even Start project if:

- The parent (or parents) is eligible for participation in adult education and literacy activities under the Adult Education and Family Literacy Act, **or** is within the State's compulsory school attendance age range (in which case a local educational agency must provide or ensure the availability of the basic education component), **or** is attending secondary school; **and**
- The child (or children) is younger than eight years of age. (Section 1236(a), ESEA).

*Note: Family members of the eligible participants described above, such as extended family, also may participate in appropriate Even Start Family Literacy Program activities. (Section 1236(b), ESEA).*

## Continuing Eligibility



Families generally may participate in Even Start Family Literacy Program services until all family members become ineligible for participation. When the parent(s) has achieved his or her educational goals and become ineligible due to educational advancement, the parent(s) may continue participating in appropriate services (parenting education and interactive parent-child literacy activities) until all children in the family reach age eight. In contrast, if all children in a family have reached the age of eight, the family continues to be eligible for two more years until the youngest participating child is 10 years old, or until the parents no longer are eligible for adult education under the Adult Education and Family Literacy Act, whichever occurs earlier. (Section 1236(b)(2), ESEA).

### **Family Participation when Children Are 8 Years or Older (Don't Qualify Under the Continuing Eligibility Provisions)**

As long as the focus of the Even Start project remains on serving families with young children, the project may permit families with children 8 years or age or older to participate if the project collaborates with a program under Title I Part A of the ESEA, and funds from the Title I Part A program contribute to paying the cost of the Even Start program for these children. (Section 1236(b)(3), ESEA).

### **Evaluation Activities**

Each project must conduct an independent local evaluation for program improvement. (Section 1235(15), ESEA). In budgeting for the cost of this independent local evaluation, you may wish to contact potential local evaluators, such as researchers or teachers at local community colleges or universities, to ascertain a typical hourly rate. The most effective local evaluators for Even Start projects often are those who understand the family literacy model, who are able to work with the project as a partner in designing the evaluation, and who will help the project use its evaluation results in an on-going way for continuous program improvement.

## **PERFORMANCE MEASURES**

The Government Performance and Results Act (GPRA) directs Federal departments and agencies to improve the effectiveness of their programs engaging in strategic planning, setting outcome-related goals for programs, and measuring program results against those goals. Program officials must develop performance measures for all of their grant programs to assess their performance and effectiveness. The Department has established a set of indicators to assess the effectiveness of the Even Start program, which Tribal Even Start projects are expected to use to measure:

- (1) percentage of adults who achieve significant learning gains on measures of literacy, and percentage of limited English proficient (LEP) adults who achieve significant learning gains on measures of English language acquisition, as measured by the Comprehensive Adult Student Assessment System (CASAS) or the Tests of Adult Basic Education (TABE);

- (2) percentage of Even Start adults with a high school completion goal who earn a high school diploma or the equivalent, or a General Equivalency Diploma (GED) goal that earn a high school diploma or equivalent; (3) percentage of Even Start children entering kindergarten who demonstrate age-appropriate development of receptive language as measured by the Peabody Picture Vocabulary Test-III (PPVT-III); and
- (4) the average number of letters that Even Start children are able to identify as measured by the Uppercase Letter Naming Subtask on the PALS Pre-K assessment.

All grantees will be expected to submit an annual performance report documenting their success in addressing these performance indicators.

## **APPLICATION DEADLINE**

The deadline for transmittal of applications for FY 2005 Even Start Family Literacy Program grants for federally recognized Indian tribes and tribal organizations is **April 11, 2005**. **All mailed applications must be postmarked on or before April 11, 2005**, and all hand delivered applications must be delivered by 4:30 p.m. (Washington, DC time) on that date. Applicants that submit their applications through the Internet using the software provided on the e-Grants Website (<http://e-grants.ed.gov>) must complete submissions by 4:30 p.m. (Washington, DC time) on that date. For further details, see Section D, "Transmittal Instructions and Checklist," later in this application package.

## **APPLICATION INSTRUCTIONS AND PROCEDURES**

Applicants that submit their application in hard copy must submit one original (signed) paper application and two paper copies of all the materials listed below under "Application Order." Please verify that all required materials are included in your application before submission by using the Application Checklist in Section D of this application package. Applicants who chose to submit their application electronically must submit these required materials using the electronic application process explained more specifically in Section D and in the *Federal Register* notice in Section B, and available at <http://e-grants.ed.gov/>.

Peer reviewers will evaluate applications from eligible Indian tribes and tribal organizations that meet the absolute priority on the selection criteria set forth below. We will make award determinations based on the procedures in section 75.217 of EDGAR (34 CFR 75.217), including taking into consideration the rank ordering of the applications following peer review and other relevant information.

### **Application Order**

Every application must contain the information specified below, organized into the following parts:

**PART I: APPLICATION FOR FEDERAL EDUCATION ASSISTANCE (STANDARD FORM 424 IN SECTION E OF THIS APPLICATION PACKAGE) AND PRELIMINARY DOCUMENTS**

**Page Limit: Standard Form 424; title page; table of contents**

Form 424 (attached in Section E of this application package) is the standard application cover page on which applicants provide basic identifying information. Specific instructions for completion are located on the back of the form. If you are submitting an electronic application, specific instructions for completion are located on the e-Grants Website Application Package page under the Documents and Instructions heading, available at: <http://e-grants.ed.gov/>.

Please carefully review the applicable instructions and complete all relevant portions of the form, including the “Estimated Funding” information in Item 14 for the first budget period (4 year project period) for both the requested Federal funds and cost-sharing amounts. For Item 4, applicants should clearly and accurately indicate 84.258 as the CFDA number of this program. If this information is incorrect, your application may be assigned and reviewed under a different program.

The title page and table of contents should *follow* Form 424.

**PART II: PROJECT ABSTRACT**

**Page limit:** *One-page, double-spaced and typed; applicant’s name at the top of the page.*

The abstract should include the following information:

- ☐ Background of the proposed project;
- ☐ The project’s goals and purposes;
- ☐ Number and needs of participating families;
- ☐ Number and needs of participating children to be served;
- ☐ Adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.
- ☐ Federal funding request and the proposed cost-share amount; and
- ☐ Any special features about how the program would operate.

**PART III: PROGRAM NARRATIVE**

**Page limit:** *25 double-spaced, single-sided typed pages (see additional information in the application notice in Section B of this package); applicant’s name at the top of each page.*

This part of your application requires a narrative that explains the proposed project, and how it meets and addresses the selection criteria used by peer reviewers to evaluate the proposal. A panel of reviewers will rate each application on how well the application responds to the selection criteria listed below in this section. Applications may receive a maximum of 100 total points on the selection criteria.

In the program narrative, follow the order of the selection criteria listed on pages **57-60** of this application package or cross-reference the selection criteria so that reviewers can easily find where the proposal addresses each criterion. Describe in detail the specific activities planned for each year of the four-year funding (project) period, with special emphasis on the first-year

funding period. Additionally, make sure the narrative responds to the Notice to All Applicants (Section 427 of GEPA), located in Section E of this application package.

#### **PART IV: BUDGET AND BUDGET NARRATIVE**

***Page limit: Budget Form 524 Sections A and B; narrative of three double-spaced, single-sided, typed pages (this is in addition to the pages allowed for the application narrative, and meets the requirement of ED Form 524, Section C) (see additional information in the application notice in Section B of this package); applicant's name and the page number at the top of each page.***

Applicants must complete and attach to their applications a proposed budget, using ED Form 524 (Sections A and B), which is in Section E of this application package, and also is available at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>. Peer reviewers will review the budget and budget narrative, and take them into consideration under relevant selection criteria.

**Please be sure to total accurately all lines of the budget forms.**

In the budget narrative, identify the general nature and amounts of proposed expenditures within budget categories and provide a brief justification of how you would spend funds within each budget category. Include enough detail to enable reviewers and project staff to understand what the funds will be used for, how much will be expended, and the relationship between expended funds and project activities and outcomes. Applicants need not be in the estimated range of award amounts as printed in the *Notice Inviting Applications* in the *Federal Register*. While funding requests can be for any amount, applicants are reminded that request amounts must be justified in the budget narrative.

TIP: The “estimated funding” information in Item 14 of the standard cover page (Standard Form 424) should be identical to the amounts for the first year cost of the project as stated on the budget forms, ED Form 524 A and B.

**Cost-sharing:** Each recipient of an Even Start Indian tribes and tribal organization grant must provide a cost share of at least 10 percent (for the first budget year), 20 percent (for the second budget year), 30 percent (for the third budget year), 40 percent (for the fourth budget year), 50 percent (for the fifth through eighth years of funding), and 35 percent in any subsequent year (see information below). The Federal share of the project may not exceed –

- 90 percent of the total cost of the project in the first year;
- 80 percent in the second year;
- 70 percent in the third year;
- 60 percent in the fourth year;
- 50 percent in the fifth through eighth years; and
- 35 percent in any subsequent year.

The local project or matching share is the difference between the amount of Federal funding and the total project cost for the year.

***NOTE:** For example, if the total cost for a project in the first year was \$200,000, the amount that the local project would be required to provide (in cash or in-kind contributions) is \$20,000 (\$200,000 - \$180,000 = \$20,000). This \$20,000 is called the “local project share.” If the Federal share in the second year was 80% (\$160,000), the local project share would be \$40,000 (\$200,000 - \$160,000 = \$40,000).*

### **Federal Request + Cost-share = Total Cost of the Project**

The project may provide this cost-share from any source other than funds under this program, including other Federal funds: the term “non-Federal funds” as stated on Form 524, Section B, means any funds not awarded under the Even Start Family Literacy Program. **Therefore other Federal funds are allowable in the cost-share amount.** You may provide the project cost-share through contributions of cash or in-kind, fairly evaluated, including plant, equipment, and services, but may only use allowable costs.

**Difference Between A Project and A Budget Period.** A budget period is each year within a multi-year project period. Before each new budget period, a project must submit an annual performance report showing how the project has made substantial progress toward meeting the goals and objectives it set forth in its approved application. If the Department determines that the project has made substantial progress toward its goals and objectives, the Congress appropriates sufficient funds for the program, and the Department determines that continuation of the project is in the best interests of the Federal Government, then the project will receive funds under a “continuation” grant for the next annual budget period.

At the end of a multi-year project period, a grantee may apply for a new grant. All grantees that wish to apply for additional funding at the end of their project periods (up to 4 years) must recompile for funding with new applicants.

### **Cost Principles That Apply to These Grants**

The cost principles in OMB Circular A-87 apply to these grants. These cost principles, along with the provisions in EDGAR referred to above, contain information about what types of costs are allowable to charge to these Federal grant funds (including to the local project matching or cost share). You may obtain a copy of these cost principles from the contact indicated on the cover page of this application package, or by accessing the following Web site:  
<http://www.whitehouse.gov/omb/circulars>

Please note that funds for this program, either Federal or cost-share, cannot be used for construction. See EDGAR, 34 CFR 75.533. However, funds may be used for “minor remodeling,” which does not involve any structural alterations.

***TIP:** For information about how to place a value on any in-kind contributions,*

*please refer to section 80.24 of EDGAR..*

### **Indirect Costs: Not Allowed**

Grantees may **not** use Even Start Family Literacy Program funds for the indirect costs of a project. **This means that grantees also may not claim indirect costs of a project as part of their matching or local project cost share.**

Recipients of an Even Start Indian tribe and tribal organization grant may request the Secretary to waive this limitation. To obtain a waiver, however, the recipient must demonstrate to the Secretary's satisfaction that the recipient otherwise would not be able to participate in the Even Start Family Literacy Program. (See section 1234(b)(3), ESEA.)

### **Items to remember when preparing the budget:**

- \* The “total cost of the project” is the amount of Federal funds under this grant plus the amount of the cost-share.
- \* For this program, “non-federal funds” as stated in the heading on ED Form 524, Section B, can include Federal funds other than Even Start Family Literacy Program Grant funds.
- \* Neither Federal funds nor cost-share may be used for construction. However, funds may be used for “minor remodeling,” which does not involve any structural alterations.
- \* Applicants need not be in the estimated range of awards as printed in the *Notice Inviting Applications* in the *Federal Register*. While funding requests can be for any amount, applicants are reminded that request amounts must be justified in the budget narrative.
- \* Place the total first year project cost (Federal request and cost-share amounts) in Item 14 on Form 424.
- \* In the FY 2005 competition, applicants can propose a project period of up to four (4) years.

**TIP:** Grant Writing Resources: You may find the following resources helpful in preparing your application:

*Grantmaking at ED* (August 2004) at the following Web site:

<http://www.ed.gov/fund/grant/about/grantmaking/index.html>, and

*Guidance for the William F. Goodling Even Start Family Literacy Programs* at the following Web site: <http://www.ed.gov/policy/elsec/guid/evenstartguidance02.doc> .

## **PART V: APPENDICES**

***Page limit: Appendices---Curriculum Vitae or Position Descriptions are limited to no more than five people and Endnote Citations are limited to no more than 2 single-spaced typed pages.***

:

You must limit the Appendices to:

- the curriculum vitae or position description of no more than 5 people (including key contract personnel and consultants); and
- endnote citations to no more than two single spaced typed pages for the scientifically based reading research upon which your instructional programs are based.

Any other material that is submitted, including non-print materials (such as videotapes and CDs) or letters of support will not be considered by peer reviewers.

## **PART VI: Assurances and Certifications**

***Page limit: Forms included in Section E of the application package.***

Be certain to include all required and applicable assurances and certifications, and sign each form in the appropriate place. If you are submitting an electronic application, please complete the required assurance and certification forms. Signatures on these forms will be requested at the time a grant award is made. The forms, assurances and certifications, included in this application package under Section E, are as follows:

- Standard Assurances for Non-Construction Programs (SF 424B).
- Certification Regarding Lobbying (ED Form 80-0013).

## **ADDITIONAL INFORMATION**

***Page and Formatting Standards:***

Reviewers will not evaluate any sections of the application that:

- Exceed the page limits identified above for each section, even if the formatting standards detailed below are used, or

- Exceed the equivalent of the page limits if other formatting standards are applied.

If not submitting an electronic application, please submit the original signed application (and the two copies) in a format that will ensure that the application stays intact (e.g., using staples or binder clips), and that no pages are lost during the handling and review processes (for example, no rubber bands or paper clips).

The following page and formatting standards apply for the application narrative and separate budget narrative:

- A page is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application and budget narratives, including titles, headings, footnotes, quotations, references, and captions. You may single space information in tables, charts, graphs, and the limited Appendices.
- Use a font that is either 12-point or larger or no smaller than 10-pitch (characters per inch).

You may use other point fonts for any tables, charts, graphs, and the limited Appendices, but those tables, charts, graphs, and limited Appendices should be in a font size that is easily readable by the reviewers of your application. Any tables, charts or graphs are included in the application narrative and budget narrative page limits. The limited Appendices are not part of these page limits.

**TIP:** Applications generally will be easier for reviewers to understand if the body of the proposal is placed in the program narrative, and any tables, charts, or graphs are used to elaborate on or provide data supporting. To make sure that there is sufficient space to explain the proposal, the Secretary recommends that tables, charts, or graphs comprise no more than 15 percent of each applicant's narrative.



## INVITATIONAL PRIORITIES

### **Invitational Priority 1 -- Early Childhood Education Service in a Group Setting**

The Secretary is especially interested in programs that offer center-based early childhood education services.

The research in early childhood education shows that educational services for young children that are provided in a center are more likely to be intensive and therefore result in significant learning outcomes than non-center based services. The Third National Even Start Evaluation showed that children who participated more intensively in early childhood education scored higher on standardized literacy skills. A center is defined, for the purpose of this competition, as a place where early childhood educational services can be provided to a group of children from multiple households.

### **Invitational Priority 2 -- Early Childhood Education Services Provided for Minimum of a 3-year Age Range**

The Secretary is especially interested in Even Start Indian tribal and tribal organization projects that provide early childhood education services for at least a 3-year age range, which may begin at birth, in order to enhance the early language, literacy, and early reading development of preschool-age children.

Under the statutory requirements that apply to the State-administered Even Start Family Literacy program, local programs must serve a 3-year age range of children, which may begin at birth. This priority would encourage Indian tribal and tribal organization Even Start programs to serve a similar age range in order to enhance the early language, literacy, and early reading development of preschool-age children.

## **SELECTION CRITERIA THE SECRETARY USES FOR THESE GRANTS**

### **How the Secretary Awards the Grant Funds**

The Secretary will use the selection criteria below to evaluate applications for grants under this competition. The selection criteria are selected from §75.210 of EDGAR (34 CFR 75.210). The Secretary has assigned a maximum number of points for each selection criteria, which is indicated in parentheses following each selection criterion. The maximum composite score for all of the selection criteria is 100 points.

A panel of three experts will review and evaluate each eligible application based upon the selection criteria, and will assign a number of points for each selection criteria. Those points for all of the panel members will be added and then averaged to obtain a total score for the application. The Secretary will prepare a standardized rank order of the applications based upon the evaluation of their quality according to the selection criteria. The Secretary then will consider the information in each application, the rank order of the application, and other factors set forth in §75.217 of EDGAR (34 CFR 75.217) in selecting applications for awards.

### **Application Review Information:**

**Selection Criteria:** The following selection criteria for this competition are in section 75.210 of EDGAR. The maximum score for all of these criteria is 100 points. The maximum score for each criterion is indicated in parentheses after the criterion.

(a) **Quality of the project design.** (30 points) The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

(1) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

*NOTE: Applicants may address this criterion and factor in any way that they choose. However, the Secretary anticipates that high-quality applications will likely--*

- *Discuss how various stakeholders, particularly staff and providers of core instructional services, participated in the development of the project design; and*
- *What families the project intends to serve, the needs of the families, and their educational needs that the project intends to address.*

(2) The extent to which the design of the proposed design reflects up-to-date knowledge from research and effective practice.

*NOTE: Applicants may address this criterion and factor in any way that they choose. However, the Secretary anticipates that high-quality applications likely will demonstrate the use of “scientifically based reading research,” as that term is defined in section 1208 of the ESEA (see the definitions in Relevant Statutory Definitions in Section B of this application package) in the development of the project design.*

(3) The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population.

**NOTE:** Applicants may address this criterion and factor in any way that they choose. However, the Secretary anticipates that high-quality applications likely will demonstrate how the proposed project will collaborate with different agencies to meet family needs for education and support services. Even Start projects should build only on existing high-quality community resources and must coordinate with other programs funded under the Elementary and Secondary Education Act, the Adult Education and Family Literacy Act, the Individuals with Disabilities Education Act, Title I of the Workforce Investment Act of 1988, Head Start, the Bureau of Indian Affairs (BIA), volunteer literacy programs, and other relevant programs. If there are no high quality services available to build upon, the project should provide the needed services with Even Start funds.

(b) **Quality of project services.** (25 points) The Secretary considers the quality of the services to be provided by the proposed project. In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers the following factors:

(1) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services.

**NOTE:** See the definition of “professional development,” as defined in section 9101(34) of the ESEA included under Relevant Statutory Definitions in Section B of this application package.

(2) The likelihood that the services to be provided by the proposed project will lead to improvements in the achievement of students as measured against rigorous academic standards.

**NOTE:** Applicants may address this criterion and factor in any way that they choose. However, the Secretary anticipates that high-quality applications will likely---

- Discuss how the project will provide core instructional services that are sufficiently intensive (at least 60 hours per month, on average, of adult basic or secondary education or English language training per month; at least 65 hours per month, on average, of early childhood education for children ages 3-5, and 60 hours per month for children ages 0-2, some of are provided in a group setting; and at least 20 hours per month of parenting education) so as to increase the likelihood that the project will result in learning gains for parents and children;
- Describe project services with a high probability of meeting or exceeding the Performance Measures included above in this section.

(3) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services.

**NOTE:** Applicants may address this criterion and factor in any way that they choose. However, the Secretary anticipates that high-quality applications likely will describe methods for collaboration that will result in the integration of the core instructional services.

(c) **Quality of project personnel.** (10 points) The Secretary considers the quality of the personnel who will carry out the proposed project. In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been

underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers the following factors:

(1) The qualifications, including relevant training and experience, of the project director or principal investigator.

***NOTE:** Applicants may address this criterion and factor in any way that they choose. However, the Secretary anticipates that high-quality applications likely will include a project director who has received training in the operation of a family literacy program (section 1235(5)(A)(ii), ESEA), whose primary responsibility is the day-to-day operations of the project and who is able to dedicate at least 90% of his/her time to the project.*

(2) The qualifications, including relevant training and experience, of key project personnel.

***NOTE:** Applicants should ensure that staff proposed for the project will meet the requirements described in the “staff qualifications” paragraph under “Required Program Elements” in the “Program Information” portion of this section in order to comply with the statute.*

(3) The qualifications, including relevant training and experience, of project consultants or subcontractors.

***NOTE:** Applicants may address this criterion and factor in any way that they choose. However, the Secretary anticipates that high-quality applications likely will include the selection or intended selection of a local evaluator with a background in family literacy, training in evaluation and measurement, evidence of experience in working with similar programs, evidence of experience with populations similar to those served by your project, and familiarity with state and Federal Even Start program and evaluation requirements.*

(d) **Adequacy of resources.** (10 points) The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(1) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.

***NOTE (1):** Applicants may address this criterion and factor in any way that they choose. However, the Secretary anticipates that high-quality applications likely will provide a description of facilities that are adequate and appropriate for creating a rich learning environment.*

***NOTE (2):** The Even Start law requires grantees to provide an increasing local project share over the grant period (at least the following amounts: 10% in the first year, 20% in the second year, 30% in the third year, 40% in the fourth year, 50% in the fifth through eighth years, and 35% thereafter). The law does not permit indirect costs to be included in the budget, either as a part of the federal funding or for the local project’s share or match, unless a project requests and qualifies for a waiver of that requirement.*

(2) The extent to which the budget is adequate to support the proposed project.

***NOTE (1):** Applicants may address this criterion and factor in any way that they choose. However, the Secretary anticipates that high-quality applications will likely—*





**Section D:**  
**TRANSMITTAL INSTRUCTIONS AND CHECKLIST**

Application Transmittal Instructions  
Application Checklist





## APPLICATION TRANSMITTAL INSTRUCTIONS

Please note that you must follow the Application and Submission Information as described in the *Federal Register* notice announcing the grant competition included in Section B of this application package. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the *Federal Register* notice. We encourage, but do not require, electronic submission of the application for this competition. You may submit your application for an Even Start Indian tribe or tribal organization grant electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants system, or in paper format by mail or hand delivery. Applicants must transmit their application electronically or transmit the **original and two copies** of the application to the Application Control Center, on or before **April 11, 2005**. The Department will strictly observe that application deadline date.

If you want to apply for a grant and be considered for funding, you must meet the following deadline and transmittal requirements:

### **I. Applications Submitted Electronically**

If you submit your application to us electronically, you must use e-Application available through the Department's e-Grants system, accessible through the e-Grants portal page at: <http://e-grants.ed.gov>.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- Your participation in e-Application is voluntary.
- You must complete the electronic submission of your grant application by 4:30 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this program after 4:30 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.
- The regular hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday, Washington, DC time. Please note that the system is unavailable on Sundays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time, for maintenance. Any modifications to these hours are posted on the e-Grants Web site.
- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you submit your application in paper format.

- You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- Your electronic application must comply with any page limit requirements described in the *Federal Register* notice found in Section B of this application package.

- Prior to submitting your electronic application, you may wish to print a copy of it for your records.

- After you electronically submit your application, you will receive an automatic acknowledgement that will include a PR/Award number (an identifying number unique to your application).

- Within three working days after submitting your electronic application, fax a signed copy of the ED 424 to the Application Control Center after following these steps:

1. Print ED 424 from e-Application.
2. The applicant's Authorizing Representative must sign this form.
3. Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the ED 424.
4. Fax the signed ED 424 to the Application Control Center at (202) 245-6272.

- We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of System Unavailability: If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

1. You are a registered user of e-Application and you have initiated an electronic application for this competition; and
2. (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or  
(b) The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either (1) the person listed in the *Federal Register* notice (included in Section B of this application package) under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If the system is down and therefore the application deadline is extended, an email will be sent to all registered users who have initiated an e-Application.

Extensions referred to in this section apply only to the unavailability of the Department's e-Application system. If the e-Application system is available, and, for any reason, you are unable to submit your application electronically or you do not receive an automatic

acknowledgement of your submission, you may submit your application in paper format by mail or hand delivery in accordance with the instructions in the *Federal Register* notice included in Section B of this application package.

## **II. Paper Applications Submitted by Mail**

If you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must send the original and two copies of your application, or on before the application deadline date, to the Department at the applicable following address:

### **By mail through the U.S. Postal Service:**

U.S. Department of Education  
Application Control Center  
Attention: CFDA # 84.258A  
400 Maryland Avenue, SW  
Washington, DC 20202-4260

or

### **By mail through a commercial carrier:**

U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CFDA Number 84.258A  
7100 Old Landover Road  
Landover, MD 20785-1506

You must show proof of mailing consisting of the following:

3. 1. A legibly dated U.S. Postal Service postmark; 2. A legible mail receipt with the date of mailing stamped by the U.S. Postal Service; A dated shipping label, invoice, or receipt from a commercial carrier; or
4. Any other proof of mailing acceptable to the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

1. A private metered postmark, or
2. A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the applicable application deadline date, we will not consider your application.

**Note:** Applicants should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

### **III. Applications Delivered by Hand**

If you submit your application in paper format by hand delivery, you (or a courier service) must hand deliver the original and two copies of your application, on or before the applicable deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: CFDA # 84.258A  
550 12<sup>th</sup> Street, SW Room 7041, Potomac Center Plaza Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

**Note for Mail or Hand Delivery of Paper Applications:** If you deliver your application to the Department by mail or by hand:

1. You must indicate on the envelope and – if not provided by the Department – in Item 4 of the ED 424 the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

2. The Application Control Center will mail a Grant Application Receipt Acknowledgment to you. If you do not receive the notification of application receipt within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

**OBTAINING AN APPLICATION PACKAGE:** You may obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain an application via the Internet, use the following address: <http://www.ed.gov/programs/evenstartindian/applicant.html> To obtain a copy from ED Pubs, write or call the following: Education Publications Center, P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll-free): 1-800-576-7734.

If you request an application package from ED Pubs, be sure to identify this competition as follows: CFDA number 84.258A.

You may also contact ED Pubs at its Web site: <http://www.ed.gov/pubs/edpubs.html> or you may contact ED Pubs at its e-mail address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov) If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.258A.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in section VII of the *Federal Register* notice included in Section B of this application package.

## APPLICATION CHECKLIST

### Does your application include each of the following?

- ☐ Title Page Form (ED 424)
- ☐ Application Abstract
- ☐ Application Narrative (limited to 25 double-spaced typed pages)
- ☐ Appendices (Curriculum vitae or Position Descriptions: limited to no more than five people)
- ☐ Appendices (Endnote Citations: limited to no more than two pages for scientifically based reading research)
- ☐ Budget Summary Form (ED 524); Budget Narrative (limited to 3 double-spaced typed pages)
- ☐ Statement of Equitable Access (GEPA 427 Statement)
- ☐ Assurances and Certifications
  - ☐ Standard Assurances for Non-Construction Programs (SF 424B)
  - ☐ Certification Regarding Lobbying (ED Form 80-0013)

### Did You --

- ☐ Provide one (1) original plus 2 copies of the application, if you elected to submit your application as paper copy?
- ☐ Include all completed required forms (with original signatures and dates if you elected to submit your application in paper copy).

### **Note:** Please check to make sure that you have done the following:

- ☐ The Application for Federal Assistance ED Form 424 (CFDA# 84.258A) has been signed and dated by an authorized official, and you have included the signed original with your submission. Those applicants submitting an application electronically must fax a signed ED Form 424 to the Application Control Center at (202) 245-6272.
- ☐ For those applicants submitting an application in paper format, include the signed original and at least two copies of the application. (Although not required, it will facilitate the application review process, if you include one additional copy of the complete application for a total of one original and three copies).



## **Section E:**

### **APPLICATION FORMS, NOTICES, AND OTHER IMPORTANT INFORMATION**

Application for Federal Education Assistance (SF 424), Instructions, and Attachment  
Budget Information—Non-Construction Programs (ED Form 524, Sections A, B, and C) and Instructions  
Assurances and Certifications:

Standard Assurances for Non-Construction Programs (SF 424B)  
Certification Regarding Lobbying (ED 80-0013)

Notice to All Applicants (Section 427 of the General Education Provisions Act (GEPA))

Other Important Information:

Survey on Ensuring Equal Opportunity For Applicants (OMB No. 1890-0014)  
Important Notice to Prospective Participants in U.S. Department of Education Grant and  
Contract Programs  
Grant Application Receipt Acknowledgement

#### **FORMS**

For those applicants submitting their application electronically, these forms are available at the e-Grants website: <http://e-grants.ed.gov>

All of the forms listed and attached below can be downloaded as Word, Wordperfect, or PDF files from: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html> The following list of forms appear in the same sequence as they appear on the website:

1. ED 424 Form and Instructions – Application Form for Federal Assistance (CFDA#84.258A)
2. ED 524 Form and Instructions – Budget Information, Non-Construction Programs
3. SF 424B Form – Standard Assurances for Non-Construction Programs
4. ED 80-0013 Form – Certification Regarding Lobbying





# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1890-0017  
Exp. OMB Approved

## Applicant Information

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

County \_\_\_\_\_

ZIP Code + 4 \_\_\_\_\_

2. Applicant's D-U-N-S Number | | | | | | | | | |

3. Applicant's T-I-N | | | - | | | | | | | |

4. Catalog of Federal Domestic Assistance #: 84. | | | | | |

Title: \_\_\_\_\_

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip code + 4 \_\_\_\_\_

Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Organizational Unit

6. Novice Applicant \_\_\_ Yes \_\_\_ No

7. Is the applicant delinquent on any Federal debt? \_\_\_ Yes \_\_\_ No  
(If "Yes," attach an explanation.)

8. Type of Applicant (Enter appropriate letter in the box.) | \_\_\_\_/

A - State F - Independent School District  
B - Local G - Public College or University  
C - Special District H - Private, Non-profit College or University  
D - Indian Tribe I - Non-profit Organization  
E - Individual J - Private, Profit-Making Organization

K - Other (Specify): \_\_\_\_\_

9. State Application Identifier \_\_\_\_\_

## Application Information

### 10. Type of Submission:

*-PreApplication*      *-Application*  
\_\_\_ Construction      \_\_\_ Construction  
\_\_\_ Non-Construction      \_\_\_ Non-Construction

### 11. Is application subject to review by Executive Order 12372 process?

\_\_\_ Yes (Date made available to the Executive Order 12372  
process for review): \_\_\_\_/\_\_\_\_/\_\_\_\_

\_\_\_ No (If "No," check appropriate box below.)

\_\_\_ Program is not covered by E.O. 12372.

\_\_\_ Program has not been selected by State for review.

12. Proposed Project Dates: \_\_\_\_/\_\_\_\_/\_\_\_\_

Start Date:

End Date:

### 13. Are any research activities involving human subjects planned at any time during the proposed project period?

\_\_\_ Yes (Go to 13a.) \_\_\_ No (Go to item 14.)

#### 13a. Are all the research activities proposed designated to be exempt from the regulations?

\_\_\_ Yes (Provide Exemption(s) #): \_\_\_\_\_

\_\_\_ No (Provide Assurance #): \_\_\_\_\_

### 14. Descriptive Title of Applicant's Project:

## Estimated Funding

15a. Federal \$ \_\_\_\_\_ . 00

b. Applicant \$ \_\_\_\_\_ . 00

c. State \$ \_\_\_\_\_ . 00

d. Local \$ \_\_\_\_\_ . 00

e. Other \$ \_\_\_\_\_ . 00

f. Program Income \$ \_\_\_\_\_ . 00

g. TOTAL \$ \_\_\_\_\_ . 00

## Authorized Representative Information

16. To the best of my knowledge and belief, all data in this preapplication/application are true

and correct. The document has been duly authorized by the governing body of the applicant

and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: \_\_\_\_\_

c. Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_



## Instructions for Form ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
3. **Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
6. **Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.  
  
Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
7. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
8. **Type of Applicant.** Enter the appropriate letter in the box provided.
9. **State Application Identifier.** State use only (if applicable).
10. **Type of Submission.** See "Definitions for Form ED 424" attached.
11. **Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (mm/dd/yyyy). Otherwise, check "No."
12. **Proposed Project Dates.** Please enter the month, day, and four (4) digit year (mm/dd/yyyy).
13. **Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

**If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

**If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

**13a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**13a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**13a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**14. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

- 15. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
- 16. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (mm/dd/yyyy) in the date signed field.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4700. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street SW, Room 7076, Washington, DC 20202-4260.

## Definitions for Form ED 424

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to [http://12.46.245.173/pls/portal30/catalog.REQ\\_FOR\\_12372.show](http://12.46.245.173/pls/portal30/catalog.REQ_FOR_12372.show)

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) *If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

#### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not***

*apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 13 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 13 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 13 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>*



**U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004  
Expiration Date: 10-31-2007

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? \_\_\_\_ Yes \_\_\_\_ No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: \_\_\_\_/\_\_\_\_/\_\_\_\_ To: \_\_\_\_/\_\_\_\_/\_\_\_\_ (mm/dd/yyyy)

Approving Federal agency: \_\_\_\_ ED \_\_\_\_ Other (please specify): \_\_\_\_\_

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

\_\_\_\_ Is included in your approved Indirect Cost Rate Agreement? or \_\_\_\_ Complies with 34 CFR 76.564(c)(2)?

Name of Institution/Organization		Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.				
<p align="center"><b>SECTION B - BUDGET SUMMARY</b> <b>NON-FEDERAL FUNDS</b></p>						
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						
<p align="center"><b>SECTION C – BUDGET NARRATIVE</b> (see instructions)</p>						



# Instructions for ED 524

## General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Indirect	Cost	Information:
If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR		

76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the

base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at:  
<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0004**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.



## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. . . 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. . . 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. . 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. . . 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) . . 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. . . 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. . 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. . . 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. . . 276a to 276a-7), the Copeland Act (40 U.S.C. . 276c and 18 U.S.C. . . 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. . . 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. . . 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. . . 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. . . 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. . 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. . . 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. . . 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. . . 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, □Audits of States, Local Governments, and Non-Profit Organizations.□
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

## CERTIFICATION REGARDING LOBBYING

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Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

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As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

**NOTICE TO ALL APPLICANTS**

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

**To Whom Does This Provision Apply?**

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

**What Does This Provision Require?**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

**What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?**

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

**Estimated Burden Statement for GEPA Requirements**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue SW, Washington, DC 20202-4250.

# SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

OMB No. 1890-0014 Exp. 1/31/2006

**Purpose:** The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

**Instructions for Submitting the Survey:** If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

**Applicant's (Organization) Name:** \_\_\_\_\_

**Applicant's DUNS Number:** \_\_\_\_\_

**Grant Name:** \_\_\_\_\_ **CFDA Number:** \_\_\_\_\_

1. Does the applicant have 501(c)(3) status?

☐ Yes

☐ No

2. How many full-time equivalent employees does the applicant have? (*Check only one box.*)

☐ 3 or Fewer

☐ 15-50

☐ 4-5

☐ 51-100

☐ 6-14

☐ over 100

3. What is the size of the applicant's annual budget?

(*Check only one box.*)

☐ Less Than \$150,000

☐ \$150,000 - \$299,999

☐ \$300,000 - \$499,999

☐ \$500,000 - \$999,999

☐ \$1,000,000 - \$4,999,999

☐ \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐ Yes

☐ No

5. Is the applicant a non-religious community-based organization?

☐ Yes

☐ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐ Yes

☐ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local )?

☐ Yes

☐ No

8. Is the applicant a local affiliate of a national organization?

☐ Yes

☐ No

## **Survey Instructions on Ensuring Equal Opportunity for Applicants**

**Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.**

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7<sup>th</sup> and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725



**IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS  
IN U.S. DEPARTMENT OF EDUCATION  
GRANT AND CONTRACT PROGRAMS  
GRANTS**

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

**Failure to meet a deadline will mean that an applicant will be rejected without any consideration.**

*The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$555.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.) In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: <http://www.access.gpo.gov/nara>. Depository Library location and Federal Register services: <http://www.archives.gov/>.*

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. No ED employees are authorized to extend any deadline published in the Federal Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education  
Application Control Center  
Washington, D.C. 20202-4725  
CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFP's are now available on-line for downloading at the following url:  
<http://www.ed.gov/fund/contract/apply/currfrp.html>.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP. A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents  
U.S. Government Printing Office  
Washington, D.C. 20402-9371

In addition, the Commerce Business Daily is available on-line for free at the following url: <http://cbdnet.access.gpo.gov/>. The Federal Acquisition Regulations are available on-line at the following url: <http://www.arnet.gov/far/>. In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

ED FORM 5348, 7/01



## ***GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT***

(If you send your application by mail or if you or your courier deliver it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you.) If you fail to receive the notification of application receipt within fifteen (15) days from the closing date call:

**U.S. Department of Education**  
Application Control Center  
(202) 245-6288

**(If your application is late, we will notify you that we will not consider the application.)**

## **GRANT AND CONTRACT FUNDING INFORMATION**

**The Department of Education provides information about grant and contract opportunities electronically in several ways:**

ED Internet Home Page	<a href="http://www.ed.gov">http://www.ed.gov</a>
OCFO Web Page Internet	<a href="http://www.ed.gov/about/offices/list/ocfo/grants/grants.html">http://www.ed.gov/about/offices/list/ocfo/grants/grants.html</a>
OCFO Contracts Page	<a href="http://www.ed.gov/about/offices/list/ocfo/contracts/contracts.html">http://www.ed.gov/about/offices/list/ocfo/contracts/contracts.html</a>